

TRANSMITTAL FORM FOR FILING PATENT APPLICATION

Attorney
Docket No.: TRD-001XWEINGARTEN, SCHURGIN, GAGNEBIN & HAYES LLP
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BOX PATENT APPLICATION
Assistant Commissioner for Patents
Washington, D.C. 20231

Date: June 5, 2000

First Named Inventor or Application
Identifier: James P. Coppola III

Sir:

Transmitted herewith under 37 CFR § 1.53 for filing is the patent application of:

Inventor: James P. Coppola III

Entitled: PORTFOLIO ACCOUNTING AND RISK MANAGEMENT SYSTEM

☐ This is a request for filing a ☐ **continuation** ☐ **divisional** ☐ **continuation in-part** application under §1.53(b) of prior Application No. _____, filed _____ entitled:

Enclosed are:

☒ 39 pages of written description, claims and Abstract, inclusive☒ 28 sheets of ☒ informal ☐ formal drawings of Figs. 1-29 (one set)☒ Oath or Declaration☐ Newly executed (original or copy)☐ Copy from prior application (37 CFR 1.63(d)) (for continuation/divisional).

The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

☒ To be filed later☐ Cover sheet and Assignment of the invention to:☐ Certified copy of a _____ application (if foreign priority is claimed) with letter claiming priority under Rule 55.☐ Information Disclosure Statement with _____ citations☐ Preliminary amendment is enclosed.☒ Return receipt postcard☒ Other: Copy of Verified Statement of Small Entity Status from provisional application.

TRANSMITTAL FORM FOR FILING PATENT APPLICATION (CONTINUED)

Attorney Docket No.: TRD-001XX

- ☐ Verified statement of Small Entity status (\$1.9 and \$1.27)
- ☒ Verified statement of Small Entity was filed in prior application. Status still proper and desired
- ☐ Priority is claimed under 35 USC § 120 as indicated on the attached sheet 4.
- ☐ Priority is claimed under 35 USC §119(a)-(d) as indicated on the attached sheet 4.
- ☒ Priority is claimed under 35 USC §119 (e) as indicated on the attached sheet 4.
- ☐ _____ is hereby appointed Associate Attorney by:
Registration No.:

Attorney of Record
Registration No.:

- ☐ **Power of Attorney** in the originally-filed application has been granted to one or more of the registered attorneys listed below. The attorneys listed below not previously granted power in the originally-filed application, as well as _____, are hereby given associate power:
Registration No.:

Stanley M. Schurgin, Reg. No. 20,979
Charles L. Gagnebin III, Reg. No. 25,467
Paul J. Hayes, Reg. No. 28,307
Victor B. Lebovici, Reg. No. 30,864

Eugene A. Feher, Reg. No. 33,171
Beverly E. Hjorth, Reg. No. 32,033
Holliday C. Heine, Reg. No. 34,346
Gordon R. Moriarty, Reg. No. 38,973

- ☐ Cancel in this application original claims _____ of the prior application before calculating the filing fee.
- ☐ Add in this application claims _____ per amendment before calculating fee.

CLAIMS FILED:	MINUS BASE:	EXTRA CLAIMS:	RATE:	BASIC FEE:
				\$690.00
Independent	5 - 3	= 2	x \$78.00 =	156.00
Total	21 - 20	= 1	x \$18.00 =	18.00
<input type="checkbox"/> Multiple Dependent Claims (1st presentation)			+ \$260.00 =	0.00
SUBTOTAL FILING FEE				\$864.00
Small Entity filing, divide by 2. (Note: verified statement must be attached per \$1.9, \$1.27, \$1.28.)				\$432.00
TOTAL Filing Fee				\$432.00

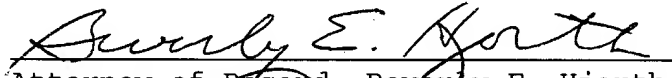
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TRANSMITTAL FOR FILING PATENT APPLICATION (CONTINUED)

- ☐ The filing fee has been calculated above; a check in the amount of _____ is enclosed.
- ☒ The filing fee will be submitted at a later date.
- ☒ In the event a Petition for Extension of Time under 37 CFR §1.17 is required by this paper and not otherwise provided, such Petition is hereby made and authorization is provided herewith to charge Deposit Account No. 23-0804 for the cost of such extension.
- ☐ The Commissioner is hereby authorized to charge payment of any additional filing fees under 37 CFR §1.16 associated with this communication or credit any overpayment to Deposit Account No. 23-0804.
- ☒ **Customer Number 207**

Address all future communications to:

WEINGARTEN, SCHURGIN, GAGNEBIN & HAYES LLP
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Attorney of Record: Beverly E. Hjorth
Registration No. 32,033

TRANSMITTAL FOR FILING PATENT APPLICATION (CONTINUED)

☐ Priority is claimed under 35 USC § 120 of prior Application(s)
No. _____, filed _____, entitled:

☐ The above-identified application(s) is/are assigned of record to:

☐ Priority is claimed under 35 USC § 119 (a)-(d) of the following application(s).

_____ (Application Number)	_____ (Country)	_____ (Filing Date)
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_____ (Application Number)	_____ (Country)	_____ (Filing Date)
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_____ (Application Number)	_____ (Country)	_____ (Filing Date)
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☐ The above-identified application(s) is/are assigned of record to:

☒ Priority is claimed under 35 USC § 119 (e) of the following provisional application(s).

<u>60/137,690</u> (Application Number)	<u>June 4, 1999</u> (Filing Date)
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_____ (Application Number)	_____ (Filing Date)
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_____ (Application Number)	_____ (Filing Date)
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☒ The above-identified provisional application is assigned of record to: TRADING RESEARCH DESIGN, INC.

☒ The claim of small entity status in the above-identified provisional application is made in this application and a copy of the small entity form from the provisional application is enclosed.

BEH/jde/225428
Enclosures

SUBMIT IN TRIPLICATE